

Application for Consultants

(Issued: 9/03)

In certain circumstances, 840 CMR 26.01 requires that this form be completed by the consultant and submitted to the retirement board. The board must then file the completed form with PERAC. Upon acknowledgement from PERAC that this and other required filings have been received, the board may retain the consultant. It is suggested that all prospective consultants submit this form to the retirement board as part of the RFP process.

Name of Retirement Board

Name of Consulting Firm

Street Address

City

State

Zip

For answers requiring additional space, please use separate attachments

1. When was the firm established?

2. Describe the firm's ownership. Give dates of important organizational or ownership changes.

3. Is the firm registered under the Investment Advisors Act of 1940?

Y ☐

N ☐

If so, submit Form ADV Part II.



4. Give biographical data, including education and years of experience in the investment consulting business, of key personnel, including the firm’s chief executive officer(s) and the lead consultant(s) for this account.

5. What is the firm’s total staffing, broken down by function?

6. How many staff have the Chartered Financial Analyst or similar designation?

7. What is the firm’s client base?

	Number of accounts	\$ Assets
Public Pension Funds	<div></div>	<div></div>
Private Pension Funds	<div></div>	<div></div>
Taft-Hartley Funds	<div></div>	<div></div>
Endowment Funds	<div></div>	<div></div>
Foundations	<div></div>	<div></div>
High Net Worth Clients	<div></div>	<div></div>
Other	<div></div>	<div></div>

8. What are the distinguishing characteristics of the firm’s investment philosophy, as it applies to your consulting practice?

9. How many investment management firms are included in your firm's data base in the following asset classes or strategies?

Domestic Equity	<input type="text"/>
International Equity	<input type="text"/>
Fixed Income	<input type="text"/>
International Fixed Income	<input type="text"/>
Real Estate	<input type="text"/>
Alternative Investments	<input type="text"/>
Hedge Funds	<input type="text"/>

10. What factors does your firm consider most important in evaluating a money manager, both for hiring and for termination?

11. Has the firm or any of its principals, either at the current firm or at a previous firm, been the subject of litigation or regulatory enforcement action over the past five years? Y ☐ N ☐

If so, please give outcome or current status.

Name of Individual (Print or Type)

Signature

Title

Date